

Descent Methods in Smooth, Rotund Spaces with Applications to Approximation in L^p

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1. INTRODUCTION

The purpose of this paper is to adapt some of the ideas used for approximation on finite-dimensional subspaces of L^2 to the more general setting of smooth, rotund spaces. A general principle for construction of approximation methods is obtained. As an application we give a unified treatment of some of the L^p -approximation methods found in the literature, both for, $1 < p \leq 2$ and $2 \leq p < \infty$. By employing sequences of L^{p_i} approximations with $p_i \rightarrow 1$ or $p_i \rightarrow \infty$ these methods can be used for L^1 or L^∞ approximations.

Section 2 contains background material on smoothness, rotundity, and orthogonality along with presentation of some properties of the best approximation operator.

One of the L^2 ideas which can be generalized is the Gram–Schmidt orthogonalization method. An imitation of the Gram–Schmidt process results in the method of “alternation” with B -operators which is given in Section 3.

Another property of approximation in L^2 is that the best approximation operator is given by a contractive linear projection. In Section 4 we obtain a theorem which gives techniques for obtaining best approximations using sequences of linear operators. These are based on using the derivatives of the norm functional to define B -operators. One of these involves the second derivative of the norm-functional and is a sequence of “weighted” L^2 -projections. We show the connection between this and the derivative of the best approximation operator. We also consider “mixed” methods which combine alternation with sequences of linear operators. In Section 5 we show how the methods apply to L^p and comment briefly on some numerical experiments.

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2. BACKGROUND

Let X be a real Banach space with unit sphere S and X^* the dual with unit sphere S^* . For each $f \in X$, $f \neq 0$ there exists, by the Hahn-Banach theorem, a $g^* \in S^*$ with $g^*(f) = \|f\|$. We call g^* a normer for f . Smoothness is the statement that each $f \in X$, $f \neq 0$ has but one normer denote by $n(f)$, and

$$n(f)(h) = \lim_{\lambda \rightarrow 0} (\|f + \lambda h\| - \|f\|)/\lambda \quad \text{for all } h \in X.$$

The map $f \rightarrow n(f)$ is continuous away from 0 [2, p. 149].

James [4] defines orthogonality, $f \perp g$, iff $\|f + \lambda g\| \geq \|f\|$ for all real λ . In smooth spaces this is equivalent to $n(f)(g) = 0$. If M is a closed subspace of X then a vector $\bar{m} \in M$ minimizes $\|f - m\|$, $m \in M$ iff $f - \bar{m} \perp m$ for all $m \in M$. If M is finite-dimensional with basis m_1, m_2, \dots, m_k and X is smooth, this can be expressed by

$$n(f - \bar{m})(m_i) = 0, \quad 1 \leq i \leq k.$$

The space X is rotund if each $g^* \in S^*$ norms at most one $f \in S$. Thus if $\|f\| = 1$ and X is smooth and rotund $n(f)(g) = \|g\|$ iff $f = g$. Rotundity can also be expressed by the geometrical condition of strict convexity, i.e., $\|f + g\| = \|f\| + \|g\|$ iff f and g are linearly dependent. This means that if $M \subseteq X$ is a closed subspace and $f \in X$, the best approximation to f in M is unique when it exists.

If X is smooth, rotund and M is finite-dimensional then we have a continuous (nonlinear) operator $P_M: X \rightarrow M$ with $P_M(f)$ the best approximation to f in M . This operator is characterized by the fact that $f - P_M(f) \perp M$ for all $f \in X$. Note that for $m \in M$, $P_M(f + m) = P_M(f) + m$.

3. THE ALTERNATION METHOD

Unless explicitly stated otherwise, we assume that X is smooth, rotund and that M is a finite-dimensional subspace of X . Generalizing the properties of P_M slightly we say that a continuous map $P: X \setminus M \rightarrow M$ has property B relative to M if:

- (1) $\|f - P(f)\| \leq \|f\|$ for all $f \in X \setminus M$
- (2) $P(f) = 0$ iff $f \perp M$ iff $\|f - P(f)\| = \|f\|$.

We then have the following analog of the Gram-Schmidt process.

THEOREM 1. *Let M be a finite-dimensional subspace with*

$$M = M_1 \oplus M_2 \cdots \oplus M_n$$

and for each i , P_i a continuous map $X \setminus M_i \rightarrow M_i$ with property B relative to M_i . Define the map A on $X \setminus M$ by $A(h) = g_n$ where $g_0 = h$ and $g_{i+1} = g_i - P_{i+1}(g_i)$. Then for each $f \in X \setminus M$, $\lim_{k \rightarrow \infty} A^k(f) = f - P_M(f)$. Here $A^1(f) = A(f)$ and $A^{k+1}(f) = A(A^k(f))$.

Proof. First note for $f \in X \setminus M$, $m \in M$, $\|A(f - m)\| = \|f - m\|$ iff $m = P_M(f)$. Also, for $h \in X \setminus M$ arbitrary $\|A(h)\| \leq \|h\|$. Thus $\|A^k(f)\|$ is decreasing and since M is finite-dimensional there is a convergent subsequence $A^{k_j}(f) \rightarrow g$. We shall show that $g = f - P_M(f)$.

From the form of A we have that $f - A^{k_j}(f) \in M$ for each k_j and so $f - g \in M$. If $f - g \neq P_M(f)$ then $\|A(g)\| < \|g\|$. However, by continuity and the fact that $\|A^k(f)\|$ converges

$$\|A(g)\| = \|A(\lim A^{k_j}(f))\| = \lim \|A^{k_j}(f)\| = \|g\|.$$

Thus $g = f - P_M(f)$ and since every convergent subsequence has the same limit $A^k(f)$ converges to $f - P_M(f)$. Q.E.D.

Note that if the P_i are, in fact, the best approximation operators on the subspaces M_i we have the theorem of Stiles [7]. The case of two disjoint subspaces may be presented in a new corollary.

COROLLARY. *Let M_1 and M_2 be disjoint subspaces. Then*

$$P_{M_1 \oplus M_2}(f) = m + P_{M_2}(f - m),$$

where

$$m = P_{M_1}(f - P_{M_2}(f - m)).$$

Proof. Define the sequence m_i , $i = 1, 2, \dots$, by

$$m_1 = P_{M_1}(f), \quad m_{i+1} = P_{M_1}(f - P_{M_2}(f - m_i)), \quad i = 1, 2, \dots$$

The mapping A of Theorem 1 takes the form

$$A(f) = f - P_{M_1}(f) - P_{M_2}(f - P_{M_1}(f)).$$

Using induction on i we establish

$$A^i(f) = f - m_i - P_{M_2}(f - m_i).$$

Putting $m = \lim m_i$ when $i \rightarrow \infty$ we find, using Theorem 1,

$$f - P_{M_1 \oplus M_2}(f) = f - m - P_{M_2}(f - m)$$

from which the desired result follows.

Q.E.D.

This result is obtained by Holmes and Kripke [3] by a different argument.

The technique of the above theorem does not appear to apply to the case in which M is not finite-dimensional. However, if we assume that X is *uniformly* rotund we can obtain best approximations in subspaces defined by increasing unions of finite-dimensional spaces from limits of sequences given by B -operators.

X is called uniformly rotund if for

$$\|f\| = \|g\| = 1 \quad \text{and} \quad \|(f - g)/2\| \geq \epsilon > 0$$

there exist a $\delta(\epsilon) > 0$ such that

$$\|(f + g)/2\| \leq 1 - \delta(\epsilon).$$

A uniformly rotund space is reflexive.

LEMMA 1. *If X is uniformly rotund and $\{M_i\}$ is an increasing sequence of closed subspaces with $\bar{M} \equiv \text{cl}(\cup M_i)$, then for all $f \in X \setminus \bar{M}$ the sequence $\{P_{M_i}f\}$ converges to $P_{\bar{M}}f$.*

Proof. First note that the sequence of reals $\|f - P_{M_i}f\|$ is bounded decreasing and hence convergent. If $\{P_{M_i}f\}$ is not convergent there is a subsequence and an $\epsilon' > 0$ such that $\|P_{M_i}f - P_{M_j}f\| > \epsilon'$ for all $i \neq j$ in the subsequence. Hence, since $\|f - P_{M_i}f\|$ converges there is an $\epsilon > 0$ with

$$\frac{1}{2} \left\| \frac{f - P_{M_i}f}{\|f - P_{M_i}f\|} - \frac{f - P_{M_j}f}{\|f - P_{M_j}f\|} \right\| > \epsilon.$$

Thus, from uniform rotundity there is a $\delta(\epsilon) > 0$ with

$$\frac{1}{2} \left\| \frac{f - P_{M_i}f}{\|f - P_{M_i}f\|} + \frac{f - P_{M_j}f}{\|f - P_{M_j}f\|} \right\| \leq 1 - \delta(\epsilon).$$

If we assume that $i > j$ then using the contraction property of the best approximation operator we have

$$\frac{1}{2} \left(\frac{1}{\|f - P_{M_i}f\|} + \frac{1}{\|f - P_{M_j}f\|} \right) \|f - P_{M_i}f\| \leq 1 - \delta(\epsilon).$$

Again using the convergence of $\|f - P_{M_i}f\|$ we obtain a contradiction and so $\{P_{M_i}f\}$ converges.

Assume that $\lim P_{M_i}f = \bar{m}$.

Let $m \in \bar{M}$ and $\epsilon > 0$ be given. Then there is an i and an $m' \in M_i$ such that

$$\|f - \bar{m} + m\| \geq \|f - \bar{m} + m'\| - \epsilon/2.$$

Then we can find $j_0 > i$ such that

$$\|f - \bar{m} + m'\| \geq \|f - P_{M_j}f + m'\| - \epsilon/2, \quad j \geq j_0$$

giving

$$\|f - \bar{m} + m'\| \geq \|f - P_{M_j}f\| - \epsilon/2.$$

Hence

$$\|f - \bar{m} + m\| \geq \|f - P_{M_j}f\| - \epsilon.$$

Letting $j \rightarrow \infty$ we obtain

$$\|f - \bar{m} + m\| \geq \|f - \bar{m}\| - \epsilon.$$

Since ϵ is arbitrary we must conclude that $f - \bar{m} \perp \bar{M}$.

Q.E.D.

Given B -operators P and Q with ranges M and N , respectively, we say that P is less than Q if $M \subseteq N$ and for all $f \in X \setminus N$ and all $n \geq 0$

$$\|(I - Q)^n f\| \leq \|(I - P)^n f\|.$$

THEOREM 2. *Let X be uniformly rotund and P_i be an increasing sequence of B -operators with finite-dimensional ranges M_i . Then if $\bar{M} \equiv \text{cl}(\cup M_i)$ for any $f \in X \setminus \bar{M}$ the sequence $f - m_i$ where $m_0 = 0$ and*

$$f - m_{i+1} = f - m_i - P_{i+1}(f - m_i)$$

converges to $f - P_{\bar{M}}f$.

Proof. Since the P_i are increasing we have that for all j ,

$$\|f - m_{i+j}\| = \|(I - P_{i+j-1}) \cdots (I - P_i)(f - m_i)\| \leq \|(I - P_i)^j(f - m_i)\|.$$

From Theorem 1 follows that for i fixed

$$(I - P_i)^j(f - m_i) \rightarrow f - P_{M_i}f \quad \text{as } j \rightarrow \infty.$$

Using Lemma 1 shows that $\|f - m_i\|$ converges to $\|f - P_{\bar{M}}f\|$. Imitating the argument of the first part of the proof of Lemma 1 we have that m_i converges. Then $f - m_i$ converges to $f - P_{\bar{M}}f$. Q.E.D.

4. CONSTRUCTION OF B -OPERATORS

We now consider some methods for defining the maps P_i of Theorem 1. We assume that M is finite-dimensional. Since n is a map from X to X^* , for each $g \in X$, $g \neq 0$, $n'(g)$, where n' is the Fréchet derivative of n , is a bilinear form on X when it exists. If $\Psi: R^+ \rightarrow R^+$ is a strictly increasing twice continuously differentiable convex function then $\phi(f) \equiv \Psi(\|f\|)$ also has two derivatives where from the chain rule

$$\begin{aligned}\phi'(f)(g) &= \Psi'(\|f\|) n(f)(g), \\ \phi''(f)(g, h) &= \Psi'(\|f\|) n'(f)(g, h) + \Psi''(\|f\|) n(f)(g) n(f)(h).\end{aligned}\quad (*)$$

Note that minimizing $\|f - m\|$ is equivalent to minimizing $\phi(f - m)$ and $f - \bar{m} \perp M$ iff $\phi'(f - \bar{m})(m) = 0$ for all $m \in M$. We say that M has property T for ϕ if for each $g \in X \setminus M$ there exist nonzero constants c_1, c_2 such that

$$c_1 \|h\|^2 \geq \phi''(g)(h, h) \geq c_2 \|h\|^2 \quad \text{for all } h \in M.$$

In Section 5 we give examples of functions Ψ and subspaces of L^n , $p \geq 2$ having this property.

Theorem 1 requires continuity of the operators P_i . This is based on the following lemma which is of some independent interest.

LEMMA 2. *If $p: X \setminus M \rightarrow M$ is a continuous operator such that $p(f) = 0$ iff $f \perp M$ then the map $f \rightarrow \alpha p(f)$, where α minimizes $\|f - \alpha p(f)\|$ is also continuous.*

Proof. Suppose we have a sequence $f_i \rightarrow f$. From the assumed continuity $p(f_i) \rightarrow p(f)$. We shall show that $\alpha_i p(f_i) \rightarrow \alpha p(f)$ where α minimizes $\|f - \alpha p(f)\|$. Note that for each i , $f_i - \alpha_i p(f_i) \perp \alpha_i p(f_i)$ and so

$$\|\alpha_i p(f_i)\| \leq 2 \|f_i\|.$$

If $p(f) \neq 0$ then since $|\alpha_i| \leq 2 \|f_i\| / \|p(f_i)\|$, by passing to a subsequence we may assume $\alpha_i \rightarrow \bar{\alpha}$. If $\|f - \bar{\alpha} p(f)\|$ is not minimized then from uniqueness of best approximation for some $\delta > 0$ we have

$$\delta \leq \|n(f - \bar{\alpha} p(f))(p(f))\|.$$

However since n is continuous for each $\epsilon > 0$ and i large we have

$$\begin{aligned} \|n(f - \bar{\alpha} p(f))(p(f))\| &\leq \|n(f_i - \alpha_i p(f_i))(p(f))\| + \epsilon \\ &= \|n(f_i - \alpha_i p(f_i))(p(f) - p(f_i))\| + \epsilon \\ &\leq \|p(f) - p(f_i)\| + \epsilon. \end{aligned}$$

Since $p(f_i) \rightarrow p(f)$ this gives $\epsilon \geq \delta$ for all $\epsilon > 0$, a contradiction.

If $p(f) = 0$ then $f \perp M$ and we shall show that $\alpha_i p(f_i) \rightarrow 0$. From the boundedness of $\alpha_i p(f_i)$ and passing to a subsequence we may assume $\alpha_i p(f_i) \rightarrow m$. For $\epsilon > 0$ and i large we have

$$\|f\| \geq \|f_i\| - \epsilon/2 \quad \text{and} \quad \|f_i - \alpha_i p(f_i)\| \geq \|f - m\| - \epsilon/2.$$

Since $f \perp M$ we have $\|f - m\| \geq \|f\|$.

Combining these gives

$$\|f\| \geq \|f_i - \alpha_i p(f_i)\| \geq \|f - m\| - \epsilon/2 \geq \|f\| - \epsilon/2 \geq \|f\| - \epsilon.$$

In the limit we have $\|f\| = \|f - m\|$ and so $m = 0$ by uniqueness of best approximation. Q.E.D.

THEOREM 3. *Let M have basis $\{m_1, m_2, \dots, m_k\}$ and let ϕ be a map of the type described above. Then the operator $P_1: X \setminus M \rightarrow M$ given by $P_1(f) = \alpha_1 p_1(f)$ where $p_1(f) = \sum_{i=1}^k \phi'(f)(m_i) m_i$ and α_1 is chosen to minimize $\|f - \alpha_1 p_1(f)\|$ is continuous and has property B.*

If in addition, for each fixed $m \in M$ the map $X \setminus M \rightarrow X^$ where $f \rightarrow \phi''(f)(m, \cdot)$ is defined and continuous and M has property T for ϕ then $P_2(f) = \alpha_2 p_2(f)$, $X \setminus M \rightarrow M$, where $p_2(f)$ satisfies*

$$\sum_{i=1}^k \phi''(f)(m_i, p_2(f)) m_i = p_1(f)$$

and α_2 is chosen to minimize $\|f - \alpha_2 p_2(f)\|$, also is continuous and has property B.

Proof. For P_1 , $\|f - P_1(f)\| \leq \|f\|$ with equality if $P_1(f) = 0$ is clear. If $f \perp M$ then $p_1(f) = 0$ so $P_1(f) = 0$. If $P_1(f) = 0$ then either $\alpha_1 = 0$ or $p_1(f) = 0$. When $\alpha_1 = 0$ we have $f \perp p_1(f)$ so from equation (*)

$$\sum_{i=1}^k \Psi'(\|f\|)(n(f)(m_i))^2 = 0$$

and $f \perp M$. Otherwise $p_1(f) = 0$ and $f \perp M$ is clear. If we have $\|f - P_1(f)\| = \|f\|$ then $f \perp p_1(f)$ and so $f \perp M$ follows in the same way. Continuity follows from Lemma 2 and the continuity of n and Ψ .

In the case P_2 , condition T for ϕ on M says that

$$h \rightarrow \sum_{i=1}^k \phi''(f)(m_i, h) m_i$$

is a bounded linear operator from M to M with bounded inverse. Hence $p_2(f)$ is defined. The condition $\|f - P_2(f)\| \leq \|f\|$ with equality if $P_2(f) = 0$ is again clear. If $f \perp M$ then $p_1(f) = 0$ so $p_2(f) = 0$. If $P_2(f) = 0$ then either $\alpha_2 = 0$ or $p_2(f) = 0$. In case $\alpha_2 = 0$ we have $f \perp p_2(f)$. Let

$$p_2(f) = \sum_{i=1}^k \lambda_i m_i$$

then we have that

$$\phi''(f)(m_i, p_2(f)) = \phi'(f)(m_i)$$

for each i and

$$\begin{aligned} \phi''(f)(p_2(f), p_2(f)) &= \sum \lambda_i \phi''(f)(m_i, p_2(f)) = \sum \lambda_i \phi'(f)(m_i) \\ &= \phi'(f)(p_2(f)) = 0. \end{aligned}$$

From property T we have $p_2(f) = 0$ then from property T again, $p_1(f) = 0$ and $f \perp M$. If $p_2(f) = 0$ then from property T , $p_1(f) = 0$ and so $f \perp M$. The continuity of P_2 follows from the assumed continuity of $\phi''(f)(m, \cdot)$ and Lemma 2. Q.E.D.

Applying Theorem 1 with $n = 1$ and using the operators P_1 and P_2 of Theorem 3 gives two methods for determining best approximations in M for $f \notin M$. Both may be viewed as descent methods for solving the system $\phi'(f - m)(m_i) = 0$, $i = 1, 2, \dots, k$. The operator P_2 gives the damped Newton's method and generalizes the theorem of Karlovitz [6].

Iterating with the operator P_2 , is in effect, the computation of a sequence of weighted L^2 approximations with varying weights. Since we assume for each $m \in M$ the map $X \setminus M \rightarrow X^*$ given by $h \rightarrow \phi''(h)(m, \cdot)$ is continuous the operator converges to

$$g \rightarrow \sum_{i=1}^k \phi''(f - P_M(f))(m_i, g) m_i$$

and if we choose the m_i orthonormal with respect to the inner product $\phi''(f - P_M(f))(\cdot, \cdot)$ we have a bounded projection with range M .

THEOREM 4. *Let $f \in X \setminus M$ and M have property T for ϕ . In addition assume that m_i , $1 \leq i \leq k$ is a basis for M orthonormal with respect to the inner product $\phi''(f - P_M(f))(\cdot, \cdot)$. If for each $m \in M$ the map $X \rightarrow X^*$ given by $g \rightarrow \phi''(g)(m, \cdot)$ is continuous in a neighborhood of $f - P_M(f)$, then $P'_M(f): X \rightarrow M$ exists and is given by*

$$P'_M(f)(g) = \sum_{i=1}^k \phi''(f - P_M(f))(m_i, g) m_i.$$

Proof. Consider the function $Q: (X \setminus M) \times M \rightarrow M$ given by

$$Q(f, m) = \sum_{i=1}^k \phi'(f - m)(m_i) m_i.$$

The operator Q is defined and has continuous partial derivatives in a neighborhood of $(f, P_M(f))$ and $Q(f, m) = 0$ iff $m = P_M(f)$. A simple calculation shows that $Q'_m(f, P_M(f))(m) = -m$ and

$$Q'_f(f, P_M(f))(g) = \sum_{i=1}^k \phi''(f - P_M(f))(m_i, g) m_i.$$

From the implicit function theorem [5, p. 690], $P'_M(f)$ exists and

$$P'_M(f)(g) = -Q'_m(f, P_M(f))^{-1}(Q'_f(f, P_M(f))(g)).$$

Q.E.D.

Remark. The previous result can also be obtained by taking $\{m_1, \dots, m_k\}$ and arbitrary basis for M and by considering the function from R^{k+1} to R given by

$$F(\lambda_1, \dots, \lambda_k, \alpha) = \left\| f + \alpha m - \sum_{i=1}^k \lambda_i m_i \right\|.$$

The proof also uses the second derivative of the norm with the implicit function theorem and is given in Holmes and Kripke [3].

Note that since the argument of ϕ' and ϕ'' converges to $f - P_M f$ accelerating this convergence should improve the performance of the over all method.

Given any basis $\{m_1, \dots, m_k\}$ for M we can define an "alternation" operator $\mathcal{A}: X \setminus M \rightarrow X$ by $\mathcal{A}(f) = g_k$ where $g_0 = f$ and $g_i = g_{i-1} - \lambda_i m_i$ with λ_i chosen to minimize $\|g_{i-1} - \lambda_i m_i\|$. This results in a "mixed" operator $P: X \setminus M \rightarrow M$ given by $P(f) = f - \mathcal{A}(f) + \alpha p(f)$ where

$$p(f) = \sum_{i=1}^k \phi'(\mathcal{A}(f))(m_i) m_i$$

and α is chosen to minimize $\|\mathcal{A}(f) - \alpha p(f)\|$. We again have that $\|f - P(f)\| < \|f\|$ unless $f \perp M$ which implies convergence. It is obvious how to define the mixed operator in case M has property T .

5. APPLICATIONS TO L^p

If $1 < p < \infty$ then real L^p is uniformly smooth and uniformly rotund so that the hypotheses of Theorem 1 apply. Minimizing $\|f - m\|$ for $f \in X \setminus M$

is equivalent to minimizing $\phi(f - m) \equiv \|f - m\|^p$ and it is well known that ϕ has a Fréchet derivative $\phi'(f - m)(g) = p \int |f - m|^{p-1} \operatorname{sgn}(f - m) g \, d\mu$, i.e., $\phi'(f - m) = p \|f - m\|^{p-1} n(f - m)$. If $p \geq 2$ then ϕ' also has a Fréchet derivative with $\phi''(f - m)(g, h) = p(p-1) \int |f - m|^{p-2} gh \, d\mu$, and for g fixed the map $L^p \rightarrow L^q$ given by $f - m \rightarrow |f - m|^{p-2} g$ is continuous in a neighborhood of $f - P_M(f)$. This is proved using geometric arguments in [3] and from a measure theory approach in [1].

If M is finite-dimensional and nonzero functions have support almost everywhere then property T follows from Hölder's inequality and compactness. Other conditions giving property T are discussed by Karlovitz [6] and Holmes and Kripke [3].

Numerical experiments with polynomial subspaces of $L^p[0, 1]$ seem to indicate that using the operator P_1 requires approximately the square of the number of iterations as when P_2 is used. However using P_2 involves solution of linear equations at each step and the matrices become illconditioned near the solutions, especially for large values of p . Calculating $\mathcal{O}(f)$ at each step (i.e., the "mixed" method for operator P_2) improves the situation since it accelerates convergence of the argument of ϕ'' and in some cases we can take $\alpha_2 = 1$ throughout and still have convergence. As the dimension of M increases it is best to break it into linearly independent subspaces and apply Theorem 1 in the general form. This idea can also be used to write M as $M_1 \oplus M_2$ where M_2 has property T and then alternate between P_1 and P_2 .

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